

**iwTrader User Manual for KGI Wealth
Management Limited
Stock Trading
2014 version**

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1. Introduction

The iwTrader program is a comprehensive all-in-one trading tool which enables a user to view real-time stock information; place, cancel, and change orders; monitor order status; check the account balance.

1.1 User login

- Open up Internet Explorer, the Login window will pop up (Fig. 1).
- For first time login, user will need to change password to desired password which consist of 8-12 digits alphanumeric (Fig 1.1). Once password is changed, a pop up box will show up to inform user password is changed successfully. Click on <Confirm> button to go to Disclaimer page.
- If correct user name and password is typed, risk disclaimer (Fig. 1.2) will show up. Click on “Agree” to continue, or “disagree” to exit. User can check the “Do not show risk discloser” box so that user will not need to go through this page again for future logins.
- After the successful login, the All-in-one Interface will start up itself (Fig.1.3)

Fig. 1 Login Window

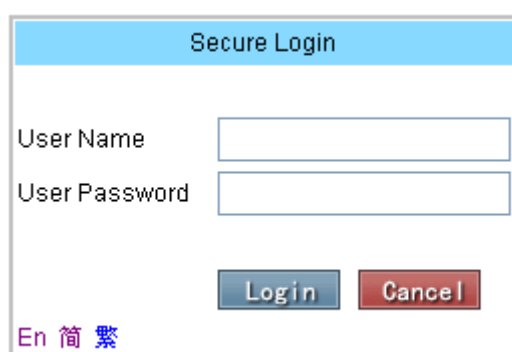
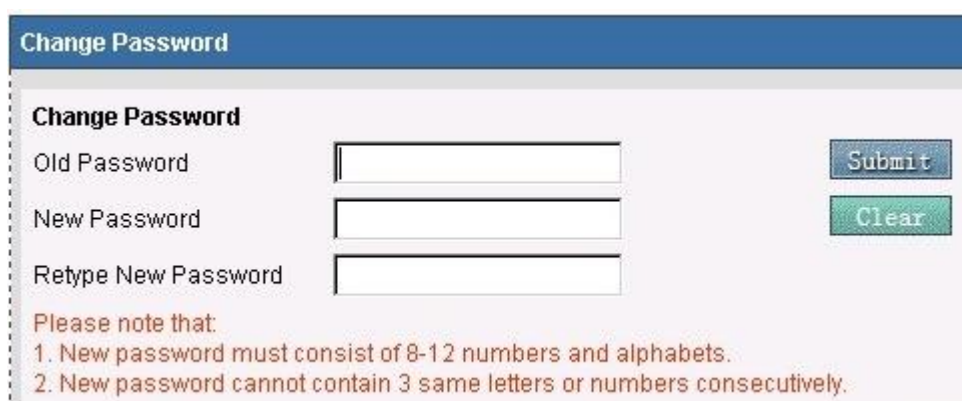
A screenshot of the 'Secure Login' window. It has a light blue header with the text 'Secure Login'. Below the header, there are two text input fields: 'User Name' and 'User Password'. At the bottom, there are two buttons: 'Login' (blue) and 'Cancel' (red). In the bottom left corner, there is a small text 'En 简 繁'.

Fig 1.1

A screenshot of the 'Change Password' window. It has a dark blue header with the text 'Change Password'. Below the header, there is a section titled 'Change Password' with three text input fields: 'Old Password', 'New Password', and 'Retype New Password'. To the right of these fields are two buttons: 'Submit' (blue) and 'Clear' (green). At the bottom, there is a note: 'Please note that: 1. New password must consist of 8-12 numbers and alphabets. 2. New password cannot contain 3 same letters or numbers consecutively.'

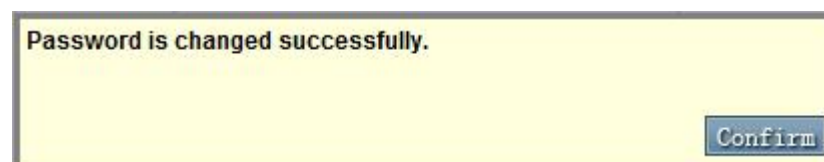


Fig. 1.2 Risk Disclaimer

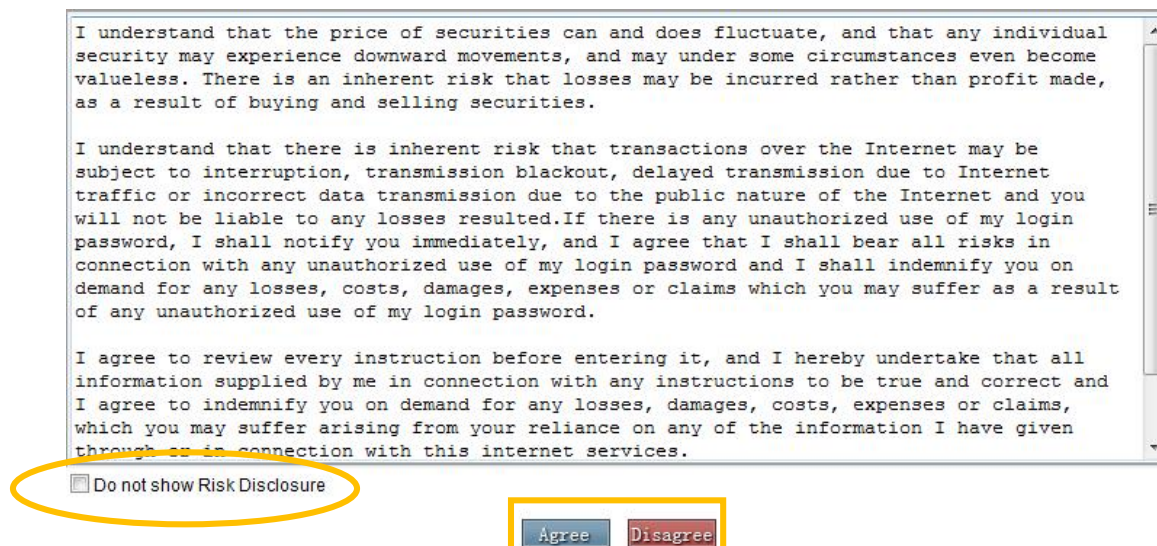
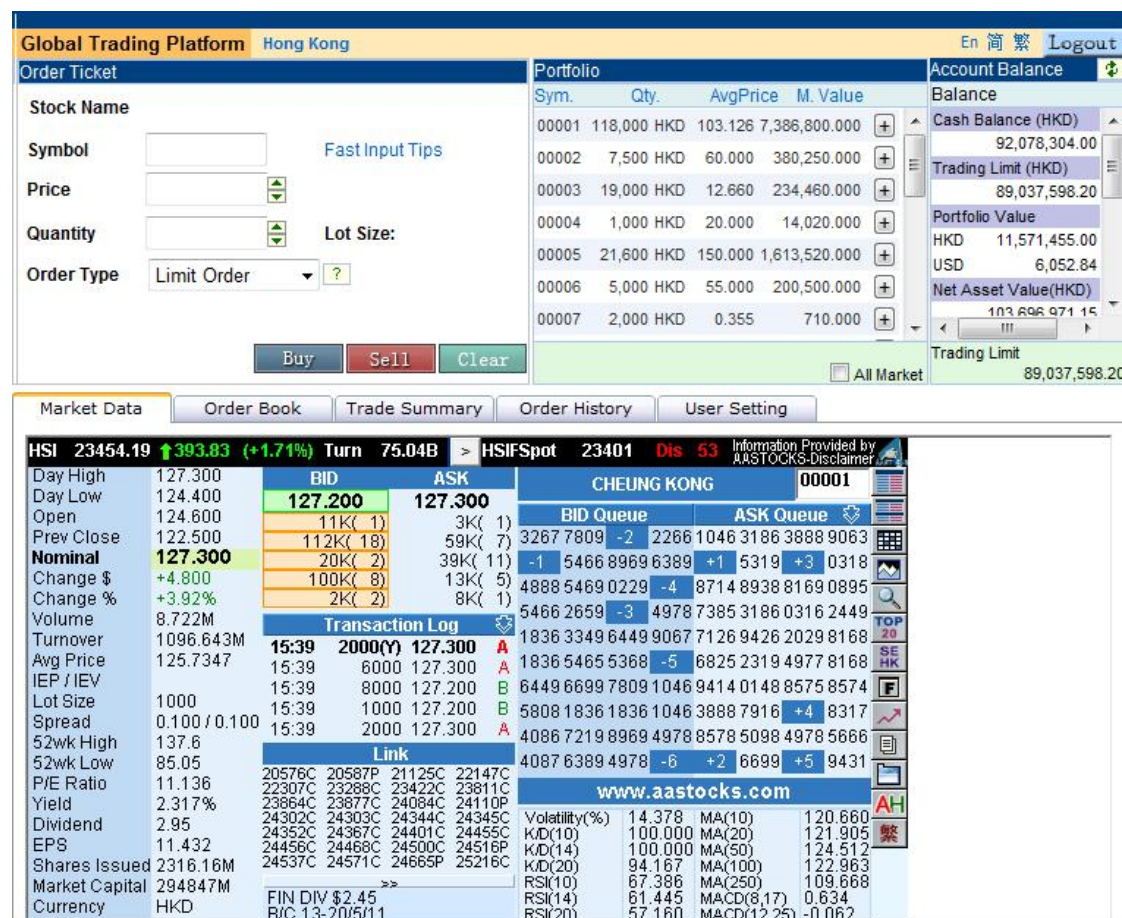


Fig. 1.3 All-in-one Interface



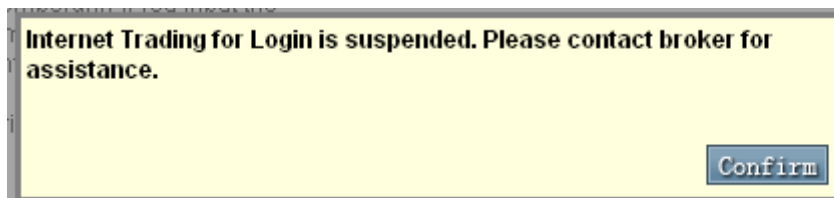
Login Window

Correct user name and password must be typed in. If an incorrect user name or password is typed, error message will popup (Fig. 1.4). Click “Confirm” to type in the correct user name and password again. For three consecutive input of wrong user name or password, your account will be suspended (Fig. 1.5). You will then have to call the customer hotline to re-activate the account.

Fig. 1.4 Wrong Entry



Fig. 1.5 Suspend account with 3 invalid login



2 User interface

2.1 Overview

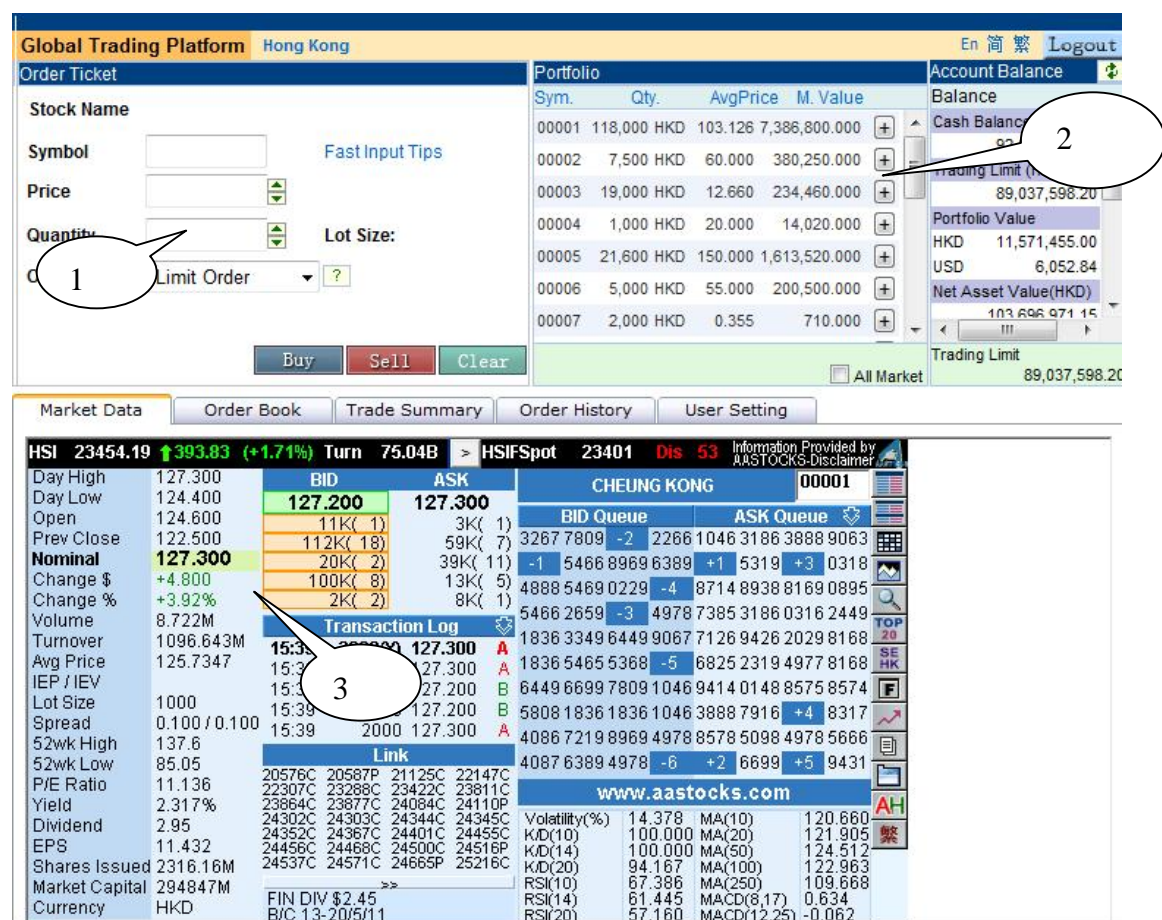
After the successful login, the All-in-one Interface will pop up automatically (Fig. 2.1).

The All-in-one Interface contains 3 sections :

1. Order Ticket Window
2. Portfolio and Account Balance Window
3. Market Quote and Order Book

(Please contact your brokerage with market data package subscription)

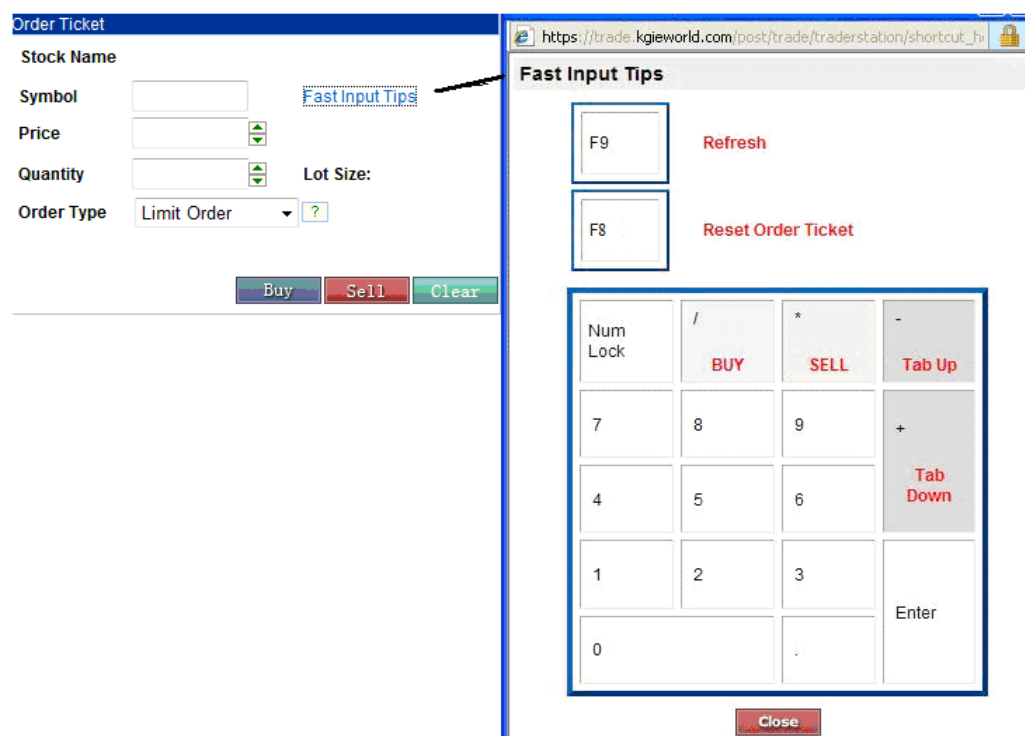
Fig. 2.1 All-in-one Interface



2.2 Order Ticket Window

iwTrader provides shortcut keys to speed up placing orders. Press on the keyboard <F9> to refresh, <F8> to reset the order ticket, '/', '*' for buy /sell, '-', '+' for tab up and back tab. For help on using fast keys for order entry click Fast Input Tips in the Order Ticket Window (Fig 2.3). Click on Fast Input Tips to pop up the window (Fig 2.2) to show the function for the keys.

Figure 2.2 Fast Input Tips Window



User can also use keyboard to place order using the following sequence:

Key sequence for SELL order: Symbol <enter>à Price <enter>à Quantity <tab>à BUY <tab>à SELL <enter>à PLACE ORDER

Key sequence for BUY order: Symbol <enter>à Price <enter>à Quantity <tab>à BUY <enter>à PLACE ORDER

2.2.1 Limit Order

1. To place order, enter the stock symbol, the quantity and the price. Then, press the Buy or Sell button according to order type (Fig. 2.3).
2. A confirmation box will pop up and the order can be confirmed by entering the password (Fig. 2.4) and press "Confirm". Should "Close" is pressed or invalid password is entered, the order would not be placed. If the order is placed successfully, the order sent confirmation message will pop up (Fig. 2.5) and the order detail will then be displayed in the order book.
3. For user to make a clear view of the transaction, Commission & Fee details are shown in the order confirmation box.

Fig. 2.3 Order Ticket

Order Ticket

Stock Name

Symbol

Price

Quantity

Order Type: Limit Order

Lot Size: ?

Fast Input Tips

Type Box

Buy Sell Clear

Fig. 2.4 Confirm Order Box

Confirm Order

Buy
Limit Order

Stock Name	CHEUNG KONG	Commission	0.000
Symbol	00001	CCASS Settlement Handling Fee	200.000
Price	86	Stamp Duty	8.600
Quantity	1,000	Transaction Levy	258.000
		Trading Fee	0.000
Amount			86,000.000
Transaction Cost			466.600
Consideration			86,466.600

Confirm Close

**To avoid being charged interest on the resulting debit balance, please ensure you have sufficient amount of settlement currency in your account*

Fig. 2.5 Order Sent Box

Order sent.

Close

Over the Limit Orders

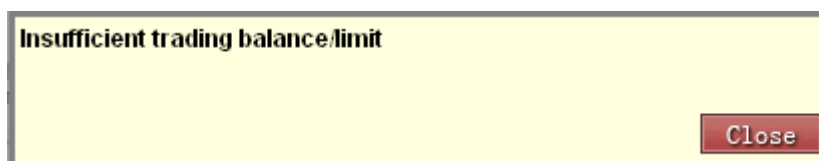
If the order exceeds the credit limit, price limit or stock position, a message dialog box will pop up. This order will not be accepted and not be shown in the order book. (Fig. 2.6a and Fig. 2.6b)

Fig. 2.6a Insufficient stock position

Insufficient stock position

Close

Fig.2.6b Insufficient trading balance



2.2.2 Auction Order

User can select and place Auction orders (Fig.2.7). Type in the symbol, price and quantity by choosing the auction order type, and auction order will be placed after clicking on the Buy/ Sell button. Auction order can only be placed during Auction period.

Fig. 2.7 Auction Order



2.2.3 Limit Order

When you place an Limit Order (Fig. 2.8) to the SEHK, it allows matching of up to 5 price queues (i.e. the best price queue and up to the 5th queue at 4 spreads away) at a time provided that the traded price is not worse than the input price. The sell order input price cannot be made at a price of 5 spreads (or more) below the current bid price whereas the buy order input price cannot be made at a price of 5 spreads (or more) above the current ask price.

Fig.2.8 Limit Order

The screenshot shows the 'Order Ticket' window for the stock 'CHEUNG KONG' with symbol '00001'. The price is set to 113.6 and the quantity to 1000. The 'Order Type' dropdown menu is open, showing 'Limit Order' as the selected option. Other options visible are 'Auction Order' and 'Special Limit'. The 'Lot Size' is indicated as 1,000. Buttons for 'Buy', 'Sell', and 'Clear' are at the bottom.

2.2.4 Special Limit Order

The Order can be filled for as much quantity as possible up to 5 spreads from best price, and the unfilled quantity will be cancelled (Fig.2.9).

Fig 2.9 Special Limit Order

This screenshot is similar to Fig. 2.8, but the 'Special Limit' option in the 'Order Type' dropdown menu is highlighted with a red box, indicating it is the selected order type.

2.3 Portfolio and Account Balance Window

2.3.1 Portfolio Window

The [Portfolio] window shows the account's portfolio in all markets (Fig.2.10) including symbol, qty, avg price, market value and P&L.

The symbol and quantity will copy into the Order Ticket while clicking the symbol in the portfolio window, and there is another way to copy the symbol and current price in AAstocks market quote page.

Fig. 2.10 Portfolio

Portfolio					
Sym.	Qty.	AvgPrice	M. Value	P&L	
00005	5,000 HKD	83.200	703,500.000	287,500.000	+
00007	20,000 HKD	2.140	42,000.000	-800.000	+
				P&L:	-800.000
				P&L Ratio:	-1.869%
				Margin Ratio:	0.000%
				Accept Value:	0.000
				Queued Quantity:	0

<input type="checkbox"/> All Market

Tick the “All Market” box and portfolio for all markets will be shown.

Mouse over each symbol and the detail box will show up showing P&L ratio, margin ratio, acceptable value and queued quantity..

Click on the “+” button at the end of the row and the above position detail will be shown in a pop up box:

Position Detail	
Symbol	00005
Stock Name	HSBC HOLDINGS
C/F Qty	5,000
Quantity	5,000
Market Value	703,500.000
P&L	287,500.000
P&L Ratio	69.111%
Margin Ratio	0.000%
Accept Value	0.000
Queued Quantity	0
Close	

2.3.2 Account Balance Window

The following information will be shown in the [Account Balance] window (Fig.2.11).:

Cash Balance (in multi currencies)/ Trading Limit (HKD)/ Portfolio value (By trading currency)/ Net Asset Value (HKD)/ Total Acceptable Value (HKD)/ Total Buy Amount (Today, HKD)/ Total Sell Amount (Today, HKD)/ Total Buy/Sell Amount (HKD)


Click on the <Refresh> button on the top  to retrieve updated information.

Fig.2.11 Account Balance

Account Balance	
Balance	
Cash Balance	
HKD	957,200.000
USD	50,000.000
Trading Limit (HKD)	
	1,957,200.000
Portfolio Value	
HKD	745,500.000
Net Asset Value(HKD)	
	1,702,700.000
Total Accept Value(HKD)	
	0.000
Total Buy Amount (Today, HKD)	
	42,800.000
Total Sell Amount (Today, HKD)	
	0.000
Total Buy/Sell Amount (Today, HKD)	
	42,800.000

2.4 Market Quote Window and Order Book

2.4.1 Market Data Window

The real time market quote will be displayed in [Market Data] window. (Fig.2.12) Please contact your brokerage with market data package subscription.

Fig. 2.12 Market Data

Market Data		Order Book		Trade Summary		Order History		User Setting	
HSI	23474.11	↑22.68 (+0.10%)		Turn	45.54B	>	HSIFSpot	23475	Pre 1
Day High 129.700		BID		ASK		CHEUNG KONG 00001			
Day Low 128.000		128.400		128.500					
Open 128.200		2K(1)		15K(1)		BID Queue ASK Queue			
Prev Close 127.400		11K(2)		3K(2)		5807 4159 2847 1097 2846 8831 8368 8117			
Nominal 128.400		16K(4)		23K(7)		-1 5749 1929 -11 +1 3257 2015 9419			
Change \$ +1.000		26K(6)		57K(10)		5345 3177 5368 9029 1495 +3 5368 +5			
Change % +0.78%		17K(6)		13K(8)		8038 5724 -5 -12 8169 9059 +4 8315			
Volume 3.77M		Transaction Log							
Turnover 485.571M		11:59 2000 128.400 A		-2 9029 -6 8575 +2 8831 1096 0157					
Avg Price 128.8108		11:59 8000 128.400 A		8038 7139 -7 -13 4569 4978 4978 8574					
IEP / IEV		11:59 10.0K 128.400 B		9046 -4 -8 3238 8714 8277 8148					
Lot Size 1000		11:59 8000 128.400 A		8186 7148 9029 2319 8319 7167 9419					
Spread 0.100 / 0.100		11:59 1000(Y) 128.400 A		9410 3414 -9 8578 3251 4635 3479					
52wk High 137.6		Link		-3 9434 -10 0107 0534 8574 2919					
52wk Low 85.05		20576C 20587P 21125C 22147C		www.aastocks.com					
P/E Ratio 11.232		22307C 23288C 23422C 2381C		Volatility(%) 14.389 MA(10) 121.850					
Yield 2.298%		23684C 23677C 24034C 24110P		KD(10) 90.441 MA(20) 122.185					
Dividend 2.95		24302C 24367C 24344C 24345C		KD(14) 90.511 MA(50) 124.000					
EPS 11.432		24352C 24367C 24401C 24455C		KD(20) 90.511 MA(100) 122.944					
Shares Issued 2316.16M		24456C 24468C 24500C 24516P		RSI(10) 69.538 MA(250) 109.782					
Market Capital 297395M		24537C 24571C 24665P 25216C		RSI(14) 63.242 MACD(8,12,1) 1.221					
Currency HKD		FIN DIV \$2.45		RSI(20) 58.536 MACD(20,25) 0.437					
		B/C 13-20/5/11							
03-31 11:17:00 MARKET TALK: CS Downgrades Poly HK To Neutral Rto IDJ 13:01:19									

2.4.2 Order Book

Order book lists out Today's order information, and allows print order book with [Print] button.

There are different sections in the [Order Book] for orders(Fig.2.13):

Fig. 2.13 Order Book

Date (Date Time of HK)/Order Number / Buy/Sell /Symbol/ Order Price/ Avg Price (filled) / Order Qty /Filled Qty/ Status / Change/ Cancel /

<div> Market Data Order Book Trade Summary Order History User Setting </div>									
Status All Order		Go				Print		Refresh	
Date(Date Time Of HK)	Order Number	Buy/Sell	Symbol	Price	Avg Price	Quantity	Filled Qty	Status	
03-31 12:36	110331000001	Sell	00001	100.000	0.000	1,000	0	Reje	
03-31 13:03	110331000002	Buy	00001	80.000	0.000	1,000	0	Reje	
03-31 13:04	110331000003	Buy	00001	120.000	0.000	1,000	0	Reje	
03-31 13:06	110331000004	Buy	00001	56.000	0.000	1,000	0	Pend	Change Cancel
Click order number to check order detail									

Date (Date Time of HK)

The time order initial placed.

Order Number

This is a reference no. generated by the system. Quote and refer to this number for any queries.

Buy/Sell

Buy or Sell Order

Symbol

The stock symbol of the order

Price

The order price

Avg Price

The order's average filled price

Qty

Order quantity

Filled Quantity

If this is a partial complete order, this column will show the quantity filled.

Status

Orders will have one of the following statuses. For orders with a Pending status for a long time please call the customer hotline if there is any query

Status	Full Name	Description
Comp	Complete	Order wholly Completed
Pend	Pending	Order stored in the system and not yet sent to the Exchange
Part	Partial	Order Partially Completed
Queu	Queue	Order queuing in the Exchange
Canc	Cancel	Order Cancelled
Reje	Reject	Reject
Conf	Confirmed	Order completed and confirmed

Change

Change the selected order

Cancel

Cancel the selected order

2.4.2.1 Change Order

1. Select the incomplete order and click < Change >. The change order box will pop up.(Fig. 2.14)。
2. Type in the new quantity and/or price as desired. The field can be left blank if there is no change required.
3. Click <confirm> to submit the change

Fig.2.14 Change Order

Change Order

Limit Order

Order Number **110615000009**

Market **Hong Kong**

Buy/Sell **Sell**

Symbol **00001**

Stock Name **CHEUNG KONG**

Price **88.000 HKD** Change To

Avg Price **0.000 HKD**

Quantity **1,000** Change To

Filled Qty **0**

Status **Queu**

2.4.2.2 Cancel Order

1. Select the incomplete order and click < Cancel >, then the cancel box will pop up.(Fig 2.15)
2. Choose < Confirm > to proceed.

Fig. 2.15 Cancel Order



Cancel Order

Limit Order

Date(Date Time Of HK) 06-16 13:39

Order Number 110615000009

Buy/Sell Sell

Symbol 00001

Stock Name CHEUNG KONG

Status Queu

Confirm Close

2.4.2.3 Order Detail


Click on the Completed order (Fig 2.16) to pop up Order Detail with trade details (Fig 2.17).

Fig. 2.16

Market Data Order Book Trade Summary Order History User Setting									
Status	All Order	Go							
								Print	Refresh
Date(Date Time Of HK)	Order Number	Buy/Sell	Symbol	Price	Avg Price	Quantity	Filled Qty	Status	
03-31 12:36	110331000001	Sell	00001	100.000	0.000	1,000	0	Reje	
03-31 13:03	110331000002	Buy	00001	80.000	0.000	1,000	0	Reje	
03-31 13:04	110331000003	Buy	00001	120.000	0.000	1,000	0	Reje	
03-31 13:06	110331000004	Buy	00001	67.000	65.900	10,000	10,000	Comp	
03-31 13:14	110331000005	Buy	00001	69.000	0.000	10,000	0	Queu	Change Cancel

Click order number to check order detail

Fig. 2.17



Order Details

Limit Order

Date(Date Time Of HK) 03-31 13:06

Order Number 110331000004

Buy/Sell Buy

Symbol 00001

Price 67.000 Avg Price 65.900

Quantity 10,000 Filled Qty 10,000

Status Comp

Trade No.	Price	Quantity	Execution Time
OT.000000000001	65.900	10,000	13:13:36

Close

2.4.2.4 Order book Filter

Select the desired status using the order status filter and click on the <Go> button to display on the orders with the selected order status.

Market Data Order Book Trade Summary Order History User Setting										
Status	All Order	Go		Print		Refresh				
Date	All Order	Number	Buy/Sell	Symbol	Price	Avg Price	Quantity	Filled Qty	Status	
03-03-17:56	Canc	1000001	Sell	00001	100.000	0.000	1,000	0	Reje	
03-03-18:03	Part	1000002	Buy	00001	80.000	0.000	1,000	0	Reje	
03-03-18:03	Reje	1000003	Buy	00001	120.000	0.000	1,000	0	Reje	
03-03-18:03	Pend	1000004	Buy	00001	67.000	65.900	10,000	10,000	Comp	
03-03-18:03	Inac	1000005	Buy	00001	69.000	66.000	10,000	10,000	Comp	
03-03-18:03	Conf	1000006	Buy	00001	66.000	65.850	10,000	10,000	Comp	

Click order number to check order detail

2.4.3 Trade Summary

The Trade Summary shows the total quantity, average price and transaction amount for each stock per buy or sell side.

Market Data Order Book Trade Summary Order History User Setting					
				Print	Refresh
Symbol	Buy/Sell	Sum Quantity	Avg Price	Transaction Amount	
00001	Buy	30,000	65.917	1,977,500.000	
00005	Sell	400	77.850	31,140.000	
00005	Buy	40,000	77.950	3,118,000.000	

2.4.4 Order History

Display the order history in 2 days/ 14 days / 28 days, pressing [Print] to print out order history for keeping records. (Fig. 2.18) User can also select to show orders of a preset status.

Fig. 2.18 Order History

Market Data Order Book Trade Summary Order History User Setting										
Status	All Order	For	28 Days	Go		Print				
Date(Date Time Of HK)	2 Days	Buy/Sell	Symbol	Price	Avg Price	Quantity	Filled Qty	Status		
03-03-17:56	14 Days	Buy	00005	84.200	0.000	400	0	Reje		
03-03-18:03	28 Days	Buy	00005	84.050	0.000	400	0	Reje		
03-03-19:08		Buy	110303000005	122.900	0.000	1,000	0	Reje		
03-16-15:03		Buy	110316000018	79.000	0.000	400	0	Canc		
03-18-15:11		Buy	110318000008	6.940	0.000	3,000	0	Reje		
03-18-16:40		Buy	110318000012	79.000	0.000	1,000	0	Reje		
03-25-16:21		Sell	110325000010	123.000	0.000	116,000	0	Reje		
03-25-16:27		Sell	110325000011	300.000	0.000	2,000	0	Reje		
03-25-16:41		Sell	110325000012	4.500	0.000	8,000	0	Reje		
03-28-16:43		Buy	110328000005	65.300	62.450	2,000	2,000	Comp		
03-30-10:43		Buy	110330000001	125.000	0.000	1,000	0	Reje		
03-30-11:26		Buy	110330000002	82.050	0.000	400	0	Canc		
03-30-12:00		Buy	110330000003	125.900	0.000	1,000	0	Reje		
03-30-12:01		Buy	110330000004	125.900	0.000	1,000	0	Reje		
03-30-12:16		Buy	110330000005	125.900	0.000	1,000	0	Reje		
03-30-12:17		Buy	110330000006	11.200	0.000	1,000	0	Reje		
03-30-12:17		Buy	110330000007	35.800	35.700	1,000	1,000	Comp		

2.4.5 User Setting

Allow the user to change the login/trading password (Fig.2. 19)

Password must be within 8 to 12 digits and must be alphanumeric (0-9) or (a to z). No more than 3 consecutive digits can be the same and the new password cannot be the same as the old password.

Fig. 2.19 Change A/C Info

The screenshot displays the 'User Setting' tab in a web application. The 'Change Password' section includes three input fields: 'Old Password', 'New Password', and 'Retype New Password'. To the right of these fields are 'Submit' and 'Clear' buttons. Below the input fields, a note states: 'Please note that: 1. New password must consist of 8-12 numbers and alphabets. 2. New password cannot contain 3 same letters or numbers consecutively.' Below this section, there is an 'Options' section with a checkbox labeled 'Do not show Risk Disclosure' which is checked, and a 'Submit' button next to it. The top navigation bar includes 'Market Data', 'Order Book', 'Trade Summary', 'Order History', and 'User Setting' (which is highlighted with a yellow box).

Check the Do not Show Risk Disclosure Box if you do not want to go through the risk disclosure page again for your next login.

2.5 User Preference Menu

User can make the following setting (Fig.2.20):

Trading Market/Language/Logout

Fig. 2.20 User Setting

The screenshot shows the top header bar of the application. It contains the text 'Global Trading Platform' followed by 'Hong Kong' in a pink box. To the right, there are links for 'En', '简', and '繁' (Chinese language options), and a 'Logout' button.

2.5.1 Trading Market

User can select the trading market as desired if available (Fig. 2.21)

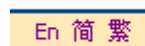
Fig. 2.21 Trading Market



2.5.2 Language

User can choose the language. (Fig. 2.22)

Fig. 2.22 Language



2.5.3 Logout Button

Logout the system. (Fig. 2.23)

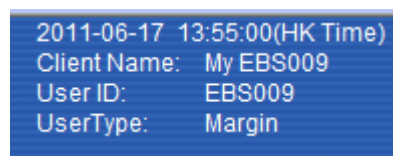
Fig.2.23 Logout



2.6 User Information

The account information will be displayed. (Fig. 2.24)

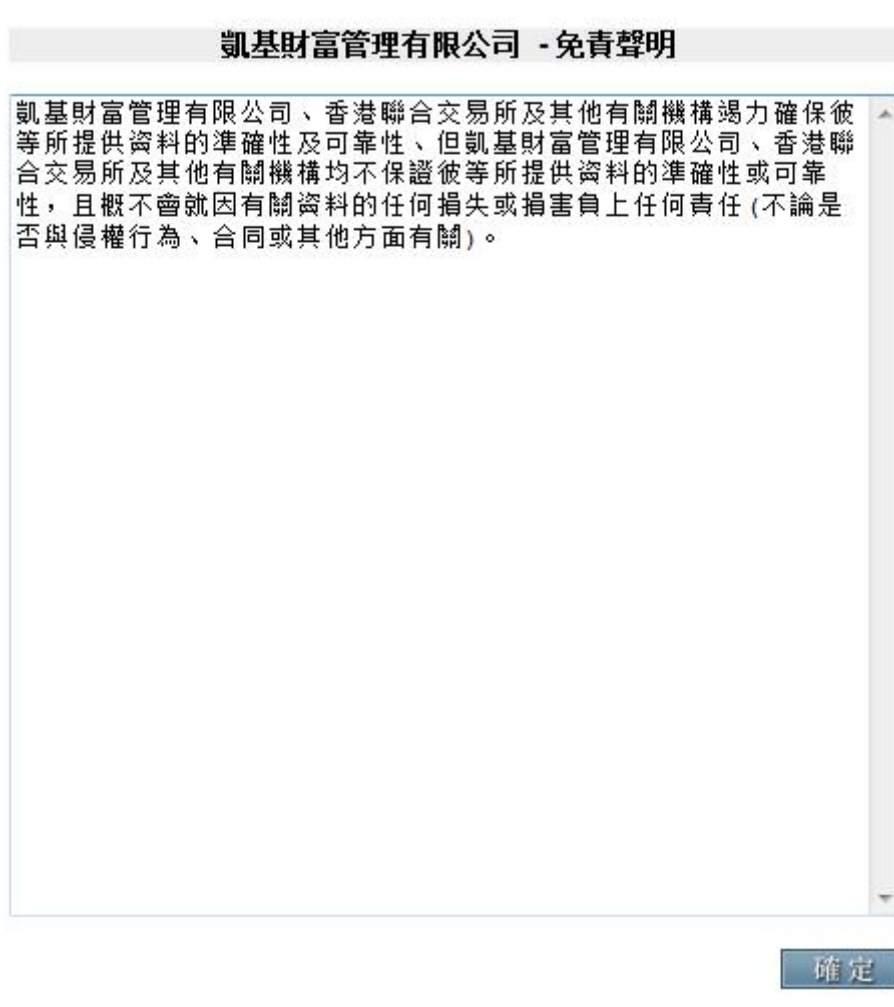
Fig. 2.24 User Information



2.7 Disclaimer

Show the disclaimer statement. (Fig. 2.25)

Fig. 2.25 Disclaimer



3. Useful Tips

- i. Remember to **change your login password regularly** in order to protect yourself against others to login your account.
- ii. **Always logout your trading screen** when you leave by using the logout button.

4. Level of Security

In order to protect the Internet Client, we have adopted different industrial standard and security requirements including data encryption, client password authentication and protection, server certificate, firewall protection.